

# EXECUTIVE SUMMARY

## LOTICIP Guideline Revisions

March 2016

<u>Guideline Section</u>	<u>Revisions by Subsection</u>
<b>Introduction</b>	<p><b>General Overview</b></p> <ul style="list-style-type: none"> <li>○ Statement added that construction contracts are to be advertised and awarded through a fair, open and competitive low bid process.</li> </ul>
<b>Application Process/Preliminary Project Submittals</b>	<p><b>Project Eligibility/Selection</b></p> <ul style="list-style-type: none"> <li>○ Clarification added regarding basic eligibility criteria for common improvement types (roadway and bridge projects).</li> <li>○ Link to Department’s Functional Classification maps added.</li> <li>○ Clarification added relative to screening/selection process to be followed for studies that are proposed to be funded in LOTICIP.</li> </ul> <p><b>Projects on or affecting State Facilities</b></p> <ul style="list-style-type: none"> <li>○ Clarifications added relative to the administration of projects with impacts to State facilities (minor/incidental impacts or significant impacts).</li> </ul> <p><b>Information Provided by the Department</b></p> <ul style="list-style-type: none"> <li>○ Language added stating that Federal actions (i.e. Federal permitting, use of Federal funding) may trigger additional Federal requirements.</li> </ul>
<b>Preliminary Engineering/Project Design</b>	<p><b>Exceptions to Geometric Criteria</b></p> <ul style="list-style-type: none"> <li>○ Clarification added that the Department will not be involved in the design exception review/authorization process.</li> </ul> <p><b>Proprietary Items <u>(New Section)</u></b></p> <ul style="list-style-type: none"> <li>○ Language added to address requirements for approval/use of sole-source items (use approved/documented by Municipality).</li> </ul> <p><b>Utilities <u>(New Section)</u></b></p> <ul style="list-style-type: none"> <li>○ Language added to emphasize need for utility coordination early in design process and to clarify cost participation (utility betterments ineligible).</li> </ul>

	<p><b>Environmental Permitting</b></p> <ul style="list-style-type: none"> <li>○ <b>Section extensively revised/expanded</b> with input from the Connecticut Department of Energy and Environmental Protection (DEEP) to clarify State, Federal and local permitting/regulatory compliance responsibilities and emphasize need for early coordination with regulatory agencies.</li> </ul> <p><b>Basic Contract Provisions (New Section)</b></p> <ul style="list-style-type: none"> <li>○ Language added relative to items required to be adhered to relative to LOTCIP construction contracts, including, but not limited to, Small Business Enterprise (SBE) set-aside requirements and State prevailing wage rates.</li> </ul>
<b>Rights of Way</b>	<p><b>Entire section extensively revised/restructured to incorporate interim Right of Way guidance of January 2015 and various other information regarding required acquisition documentation, relocations, reimbursement procedures, agreements, etc.</b></p>
<b>Construction</b>	<p><b>Inspection Staffing</b></p> <ul style="list-style-type: none"> <li>○ Section revised to remove reference to General Letter 97-1 (superseded) and add reference to DOT Policy Statement EX.O-33 relative to non-Federally funded contract fees for architects, engineers and consultants.</li> </ul> <p><b>Cost Participation</b></p> <ul style="list-style-type: none"> <li>○ Clarification added that project contingency funds are not to be used to increase project scope, extend project limits, etc.</li> </ul>
<b>Financials</b>	<p><b>Sub-allocation of the LOTCIP Funding</b></p> <ul style="list-style-type: none"> <li>○ Table 1 - 2010 Urbanized Area Population by Planning Region revised to reflect OPM re-designated planning regions.</li> </ul> <p><b>Use of LOTCIP in combination with State Local Bridge Program (SLBP) Funding (New Section)</b></p> <ul style="list-style-type: none"> <li>○ Language added precluding use of LOTCIP funds in combination with SLBP funding.</li> </ul> <p><b>Use of LOTCIP as a Contributory Fund Source (New Section)</b></p> <ul style="list-style-type: none"> <li>○ Language added to address use of LOTCIP funds as contributory fund source on larger Department and/or municipally sponsored Federally-funded projects.</li> </ul> <p><b>Department Oversight Costs</b></p> <ul style="list-style-type: none"> <li>○ Language revised to state that the DOT will set aside additional funds for program administration as needed rather than each State fiscal year.</li> </ul>

<p><b>Appendices</b></p>	<p><b>LOTICIP Application</b></p> <ul style="list-style-type: none"> <li>○ Link added to available electronic/fillable forms on the Department’s LOTICIP webpage.</li> <li>○ Clarifications added to various sections of the application. No new requirements added.</li> <li>○ <b>New item.</b> Added Sample Cost Estimate Form (courtesy of CRCOG).</li> <li>○ <b>New item.</b> Added DOT Policy Statement EX.O-33 relative to non-Federally funded contract fees for architects, engineers and consultants.</li> <li>○ CON-501L revised to include signature line for COG Executive Director.</li> <li>○ Checklist of <i>Items to be submitted as part of the final package</i> revised to accurately list items to be included with Final Design Submission.</li> <li>○ General Municipal Certification (Item 8, Encroachment Permitting) revised to reflect coordination with Department’s Office of Maintenance during design phase/design deemed acceptable for issuance of encroachment permit for work within State right-of-way.</li> <li>○ General Municipal Certification (Item 9, Rights of Way) revised to reflect interim Right of Way guidance of January 2015 (as subsequently incorporated into March 2016 LOTICIP Guidelines) regarding required acquisition documentation, relocations, etc.</li> <li>○ 2010 Urbanized Area Population by Planning Region table revised to reflect OPM re-designated planning regions and updated to reflect FY2017/2017 allocations.</li> </ul>
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**Note:** This executive summary only reflects revisions/updates/etc. considered to be substantive and does not reflect other minor changes made such as general nomenclature updates, formatting changes, corrections of typographical errors, etc.